

Respondent KENNEDY - EXHIBIT 1

Arbitrator Disclosure Report

Arbitrator last affirmed the accuracy of this Disclosure Report on 11/22/2023

ARBITRATOR

**Name:** Mr. Michael Joseph Whealen **Classification:** Public  
**Arbitrator ID:** A65357 **FINRA Mediator:**  
**CRD #:** **Chair Status:** None  
**City/State/Country:** Saint Louis / MO / United States **DR Portal Registered:** Yes

EMPLOYMENT

<u>Start Date</u>	<u>End Date</u>	<u>Firm</u>	<u>Position</u>
05/2012	Present	Retirement	Retirement
09/2011	04/2012	Graybar Electric Supply	Federal Account Manager
08/2008	09/2011	Retirement	Retirement
05/2002	08/2008	AT&T Federal Solutions	Regional Vice President
06/1999	04/2002	AT&T Federal Solutions	Regional Sales Manager
02/1998	06/1999	AT&T	Sales Manager
01/1996	02/1998	AT&T Federal Systems	Sales
05/1993	01/1996	AT&T	Data Networking Acct Executive
04/1991	04/1993	AT&T	Senior Account Executive
02/1987	03/1991	AT&T	Regional Sales Director
09/1983	01/1987	American Bell	Account Executive
01/1983	09/1983	American Bell	Communications Consultant
12/1980	01/1983	Southwestern Bell Telephone Company	Communications Consultant
06/1970	12/1980	Ralston Purina	Fulfillment Supervisor

EDUCATION

<u>Start Date</u>	<u>End Date</u>	<u>School</u>	<u>Degree</u>
08/1989	03/1993	Webster University	MA
09/1973	04/1978	Saint Louis University	BA

TRAINING

<u>Completed</u>	<u>Course</u>	<u>Details</u>	<u>Firm/School</u>	<u>Hours</u>	<u>Location</u>
10/2024	Motion to Dismiss Training		FINRA	1	online
10/2024	Suspicious Act Rpt & Anti-Money Laundrg		FINRA	1	online
10/2024	Explained Decision Training		FINRA	1	online
08/2023	Enhanced Expungement Training		FINRA	1	online

12/2022	Duty to Disclose online mini-course		FINRA	1	online
12/2022	Understanding the Prehearing Stage		FINRA	1	online
03/2021	Online Basic Panel Training		FINRA	6	online
03/2021	Expungement online revised - 3/2009		FINRA	1	online
03/2021	Suspicious Act Rpt & Anti-Money Laundrg		FINRA	1	online
03/2021	New Online Civility Training	Paper exam	FINRA	1	
02/2021	Discovery Training (2011)		FINRA	1	online

### CONFLICT INFORMATION

A neutral’s current relationship with a FINRA member firm is considered a conflict of interest which precludes the neutral from serving on a case involving said firm. FINRA’s list selection algorithm automatically screens for known conflicts with FINRA member firms when generating lists of potential neutrals for a case, and, where a known conflict exists, the neutral will not appear on a list in that case.

Note: Disclosures of type “Related Conflict With” are automatically added to the list of disclosures by FINRA using data found in the Central Registration Depository (CRD). These disclosures are not provided directly by the neutral.

Type	Firm Name	Details
Family Member has relationship with	Edward Jones	Spouse has IRA
Has an account with	Computershare	Investment
Related Conflict With	Georgeson Securities Corporation	Conflict due to firm affiliation

### DISCLOSURE INFORMATION

Neutral disclosures are provided for the parties’ information but are not considered conflicts of interest. FINRA’s list selection algorithm does not screen disclosure information when generating lists of potential neutrals for a case. The parties may consider this information when making decisions as to neutral selection.

Parties are encouraged to conduct their own due diligence for any prospective neutral, including their social media presence. Keep in mind that social media presence can change as accounts may be opened or closed, privacy settings may be changed and posts can be created, edited and/or taken down by the user. Social media posts made by FINRA neutrals do not reflect the opinions and views of FINRA.

Type	Firm Name	Details
Disclosed Online Activities	LinkedIn	<a href="http://www.linkedin.com/in/michael-whealen-0aa49b/">www.linkedin.com/in/michael-whealen-0aa49b/</a>
Disclosed Online Activities	LinkedIn	<a href="http://www.linkedin.com/in/michael-whealen-9758a3a/">www.linkedin.com/in/michael-whealen-9758a3a/</a>
Disclosed Online Activities	LinkedIn	<a href="http://www.linkedin.com/in/michael-whealen-a843361/">www.linkedin.com/in/michael-whealen-a843361/</a>
Disclosed Online Activities	LinkedIn	<a href="http://www.linkedin.com/in/mike-whealen-a613625/">www.linkedin.com/in/mike-whealen-a613625/</a>
Has made a disclosure about	MJ Services	Neutral owns firm; no money made from it
Is a member of	SBC Enhanced Pension Group	

Non-investment related lawsuit/  
charge  
  
Non-investment related lawsuit/  
charge

DWI in 1973, case was thrown out and  
arrest was expunged  
  
Plaintiff in 2008 title acquisition case,  
judgment for Plaintiff

**PUBLICLY AVAILABLE AWARDS FOR CASES INVOLVING PUBLIC CUSTOMERS**

Publicly Available Awards for Cases Involving Public Customers Section, Current as of 12/14/2024

<u>Case ID</u>	<u>Case Name</u>	<u>Close Date</u>	<u>Role</u>
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There is no award information.

**PUBLICLY AVAILABLE AWARDS FOR CASES NOT INVOLVING PUBLIC CUSTOMERS**

Publicly Available Awards for Cases NOT Involving Public Customers Section, Current as of 12/14/2024

<u>Case ID</u>	<u>Case Name</u>	<u>Close Date</u>	<u>Role</u>
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There is no award information.

**CASES CURRENTLY ASSIGNED INVOLVING PUBLIC CUSTOMERS**

<u>Case ID</u>	<u>Parties and Current Representatives of Record</u>	<u>Date Assigned</u>	<u>Role</u>
23-02297	Customer (Counsel: Mr. Richard B. Fosher, Esq., St. Louis, MO) vs. First Allied Securities, Inc. (Counsel: Mr. Benjamin J. Biard, Esq., Miami, FL)	11/10/2023	Panelist
23-01119	Customer (Counsel: Mr. Richard B. Fosher, Esq., St. Louis, MO) vs. Moloney Securities Co., Inc. (Counsel: Mr. Matthew D. Turner, Esq., Jefferson City, MO)	07/06/2023	Panelist
22-01937	Customer (Counsel: Mr. Michael C. Bixby, Esq., Pensacola, FL) vs. Center Street Securities, Inc. (Counsel: Mr. Donald Pollard, Port Jefferson, NY); Jeffrey T. Kennedy (Counsel: Mr. Jeffrey T. Kennedy, Giddings, TX); Jack Robert Thacker (Counsel: Mr. Jack Robert Thacker, Murfreesboro, TN); Micah Harding Rayner, Jason Price Lamb, Michael Anthony Romano (Counsel: Mr. James L. Kopecky, Esq., Chicago, IL); Thomas Samuel Lisk (Counsel: Mr. Thomas Samuel Lisk, Abingdon, VA); Billy James Aycock (Counsel: Mr. Billy J. Aycock, Nashville, TN)	11/10/2022	Panelist
22-01653	Customer (Counsel: Mr. Richard B. Fosher, Esq., St. Louis, MO) vs. Arete Wealth Management, LLC (Counsel: Mr. Gregg J. Breitbart, Esq., Fort Lauderdale, FL); Center Street Securities, Inc. (Counsel: Mr. Donald Pollard, Port Jefferson, NY)	10/27/2022	Panelist

**CASES CURRENTLY ASSIGNED NOT INVOLVING PUBLIC CUSTOMERS**

<u>Case ID</u>	<u>Parties and Current Representatives of Record</u>	<u>Date Assigned</u>	<u>Role</u>
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There are no currently assigned cases.

**ARBITRATOR BACKGROUND INFORMATION**

I have an MA in Management (emphasis in Human Resources Resources) from Webster University in March 1993. Also as a Sales Manager, Regional Sales Manager and Regional Vice President for AT&T/SBC/AT&T Federal Solutions, I was tasked with assisting my employees with basic financial advice, primarily the 401K's, Deferred Compensation Plans, Savings Plans and Executive Savings Plans. While I was prohibited from giving advice or specific recommendations, I did help them seek professional counsel for specifics. Many of these folks had never been involved with deferred compensation, stock options and longer term savings vehicles. As we moved people along in their careers it was incumbent of me to make them as broadly knowledgeable as possible.